

Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. 205200US2PCT		SERIAL NO. 09/807,963	
LIST OF REFERENCES CITED BY APPLICANT				APPLICANT Yuji UENOHARA, et al.			
				FILING DATE June 1, 2001		GROUP 2166	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA						
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FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES NO		
0-A	AO	2001-67409	03/16/2001	JAPAN (with English Abstract)			X
2-A	AP	2003-331128	11/21/2003	JAPAN (with English Abstract)			X
	AQ						
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	AT						
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	AV						
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)							
	AW						
	AX						
	AY						
	AZ						
					<input type="checkbox"/> Additional References sheet(s) attached		
Examiner <i>Abigail</i>					Date Considered 11/16/06		
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

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SHEET 1 OF 1

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PATENT AND TRADEMARK OFFICE

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## LIST OF REFERENCES CITED BY APPLICANT

APPLICANT

Yuji UENOHARA, et al.

FILING DATE

June 1, 2001

GROUP

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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA						
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## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
0-18	AO	5-89160	04/09/1993	JAPAN (with English Abstract)		X
0-18	AP	9-305656	11/28/1997	JAPAN (with English Abstract)		X
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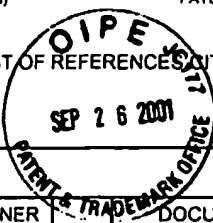
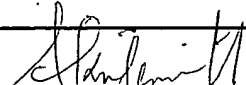
## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)

0-18	AW	M. NAKASHIMA, et al., Toshiba Review, vol. 46, no. 1, pages 14-17, "DEALING SUPPORT SYSTEMS", January 1, 1991 (with partial English translation)				
0-18	AX	J. C. HULL, Kinzai Institute For Financial Affairs, Inc., pages 685-724, (Chapter 19), 3 <sup>rd</sup> Edition, "FINANCIAL ENGINEERING (OPTIONS, FUTURES, AND OTHER DERIVATIVE SECURITIES", June 24, 1998				
0-18	AY	Y. UENOHARA, et al., The 5 <sup>th</sup> JAFEE Int. Nat. Conf., pages 18-37, "BOLTZMANN MODEL IN FINANCIAL TECHNOLOGY", August 28-29, 1999 (Submitted English pages 1-20 only)				
	AZ				<input type="checkbox"/> Additional References sheet(s) attached	

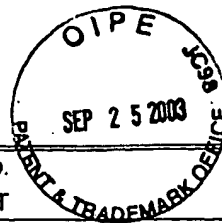
Examiner

Date Considered 11/16/06

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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
O-A	AA	5,692,233	11/25/97	M. B. GARMAN			
O-A	AB	6,061,662	05/09/2000	M. S. MAKIVIC			
	AC						
	AD						
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FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES NO		
O-A	AL	08-139151	05/31/96	JAPAN			
	AM	07-140289	06/02/95	JAPAN			
	AN	05-143571	06/11/93	JAPAN			
	AO	10-222488	08/21/98	JAPAN			
	AP	06-236383	08/23/94	JAPAN			
	AQ	11-259452	09/24/99	JAPAN			
	AR	09-245018	09/19/97	JAPAN			
	AS	08-335213	12/17/96	JAPAN			
	AT	07-36976	02/07/95	JAPAN			
	AU	06-28384	02/04/94	JAPAN			
O-A	AV						
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)							
O-A	AW	S. MUROTA, Kabushiki Kaisha Kindai Sales, pages 28-50, "KINYU MONTE CALRO", May 14, 1996					
	AX						
	AY						
	AZ						
Examiner 					Date Considered 11/16/96		

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SEP 26 2003

Technology Center 2100

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
04	AO	5-143571	06/11/93	JAPAN (with English Abstract)		X
	AP					
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## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)

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☐ Additional References sheet(s) attached

Examiner

Date Considered 11/16/06

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